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CERTIFICATE OF MAILING

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Date: March 22, 2007

Name: Eunice K. Chang

Signature: *Eunice K. Chang*

Clifford Chance US LLP

Customer No.: 27383

Docket No. 80-20687997 (formerly 6208-010)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Jamie A. Greenwald**

Serial No.: **09/845,900**

Filed: **April 30, 2001**

For: **AUTOMATED OVER-THE-COUNTER
DERIVATIVES TRADING SYSTEM**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is a copy of Form PTO/SB/08.

Applicants respectfully request the Examiner's consideration of the cited references and entry into the record of this application and that it be cited of record in the prosecution history of the present application by initialing Form PTO/SB/08 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is

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intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104 and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Also enclosed is a copy of the Japanese Office Action dated December 22, 2006 for a foreign counterpart of the present patent application (Japanese Patent Application No. 2002-129346), in which the presently disclosed references were cited. Since a translation of the Office Action is also enclosed, it is believed that the Applicants in the above-identified patent application have now met the "concise explanation" requirement of 35 C.F.R. 1.98.

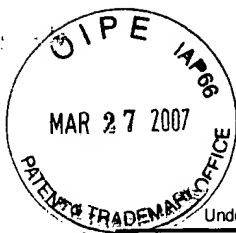
The present Information Disclosure Statement has been submitted after a first office action, but before final rejection or allowance. Upon information and belief, each item of information listed herein was first cited in the Japanese Office Action dated December 22, 2006 in the Japanese counterpart Patent Application No. 2002-129346, not more than three months prior to the filing of this IDS. Accordingly, no fee is due.

Respectfully submitted,



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March 22, 2007



PTO/SB/08a/b (07-05)

Approved for use through 07/31/2006. OMB 0651-0031

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/845,900
				Filing Date	April 30, 2001
				First Named Inventor	Jamie A. Greenwald
				Art Unit	3691
				Examiner Name	Olabode Akintola
Sheet	1	of	1	Attorney Docket Number	80-20687997 (formerly 6208-010)

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	US-6,061,662-A	05-09-2000	Makivic	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
	BA	JP-11-015878-A	01-22-1999	D Burein:KK		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ²
	CA	OSAKI, Sadakazu, "Electronic Finance – Securities Transactions: Online Transaction Service in Full Gear of Japanese Securities Companies", Capital Market Quarterly, Nomura Research Institute Ltd., November 1, 1998, Vol. 2, No. 2, pp. 43-52.		
	CB	OSAKI, Sadakazu, "Electronic Finance – Securities Transactions: New Restrictions on a PTS (Proprietary Trading System) in Japan", Capital Market Quarterly, Nomura Research Institute Ltd., February 1, 2001, Vol. 4, No. 3, pp. 66-75.		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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